



Department of Energy
Golden Field Office
1617 Cole Boulevard
Golden, Colorado 80401-3393

April 19, 2000

TO: All Prospective Applicants:

SUBJECT: AMENDMENT NO. 001 TO SOLICITATION NO. DE-PS36-00GO10499,
INITIATIVE ON COOPERATIVE PROGRAMS WITH STATES FOR
RESEARCH, DEVELOPMENT AND DEMONSTRATION

This Amendment 001 incorporates the attached list of questions received and the corresponding answers on the Solicitation. The questions and answers are being incorporated as APPENDIX B.

In addition, the following changes are made to the Solicitation:

1. Page 4, under **B. Participation by DOE Management and Operations (M&O) Contractors**, the following sentence is added at the end of the first paragraph:

"The National Energy Technology Laboratory, which is owned and operated by the Federal Government, is not eligible as an applicant or participant under this solicitation."

2. Page 5, under **D. TIME AND PLACE FOR SUBMISSION OF APPLICATIONS**, the first and second paragraphs are deleted and replaced with the following paragraph:

"Applications are due at 3:00 PM Eastern Time, on April 27, 2000. Applications must be addressed to: U.S. Department of Energy / NETL, ATTN: William Mundorf, Building 921, 626 Cochrans Mill Road, P. O. Box 10940, Pittsburgh, PA 15236-0940. An application received after the aforementioned date shall be considered a late submission and not eligible for consideration unless it: (a) was postmarked or otherwise dated by commercial carrier not later than the application due date specified above (PRIVATE METERED POSTMARKS ARE NOT ACCEPTABLE PROOF OF THE DATE OF MAILING) and (b) is received before the technical evaluation of applications submitted in response to the Solicitation begins. The envelope containing the application must be marked Solicitation Number DE-PS36-00GO10499." If hand carried, the applications must be delivered to 626 Cochrans Mill Road, Building 921, Pittsburgh, PA 15236 by the aforementioned time and date.

3. Page 9, under III. APPLICATION PREPARATION INSTRUCTIONS, the first paragraph is deleted and replaced with the following:

"The format for preparing the application is provided below. The application shall be submitted in an original plus seven copies. In addition, two additional copies are required for each Secondary Program Area of Interest identified in the proposal in addition to the Primary Program Area of Interest (See instructions for Cover Page on Page 10). The original application (i.e., original signature) shall be identified as "Original" (No. 1) and the remaining copies shall be consecutively numbered 2 through the number of copies submitted. In accordance with 10 CFR Part 600.210(b)(2), State and Local Government Applicants are required to submit an original and two (2) copies of the application. However, State and Local Government Applicants are strongly encouraged to submit the additional copies as instructed above to expedite the evaluation process."

4. Page 10, under C. Section I - Technical Information, the following paragraph is added above the first paragraph:

"The application's Technical Information section may not exceed 20 pages, including all supplemental information, with the exception of resumes (limited to a maximum of 10 pages for all resumes), Field Work Proposal and Authorization from the DOE Contracting Officer if M&O work is proposed."

5. Page 10, under 1. Cover Page, the last sentence is deleted and replaced with the following sentences:

"In addition, applicants are required to identify the Program Area of Interest or multiple Program Areas of Interest (for a single project) on the cover page. If multiple Program Areas of Interest are proposed, the applicant shall identify which is considered to be the Primary Program Area of Interest and which are considered Secondary Program Areas of Interest."

6. Page 16, under B. Initial Review the following is added to the first paragraph:

d) EPAAct eligibility requirements per II. General Information Section I.

7. Page 20, under H. Additional Information the first paragraph is deleted and replaced with the following:

"DOE may require applications to be clarified to the extent considered necessary. However, the award may be made solely on the information contained in the initial application."

8. The questions and answers are added as APPENDIX B to the Solicitation.

All other items in the Solicitation remain unchanged.

Sincerely,

(Original Signed By)

Matthew A Barron
Contracting Officer

APPENDIX B -QUESTIONS AND ANSWERS

1. Question: In the last paragraph on page 4 of the solicitation, it states that if M&O participation is approved for funding then DOE intends to provide direct funding for the M&O's portion of the effort under the existing DOE M&O contract. My interpretation of this is that this funding will be independent from, and not impact, the funding requirements identified by the recipient. Is this a correct interpretation of this statement?

Answer: The total project funding proposed must include the M&O participation. Although the funding will be funded to the M&O outside of the Cooperative Agreement instrument, the amount of funds must be included in the applicant's total project costs. This funding will be counted toward the Federal cost share portion of the project.
2. Question: When will award announcement be made for: Solicitation Number DE-PS36-00GO10499 "Initiative on Cooperative Programs With States For Research, Development, and Demonstration"?

Answer: Selection for negotiation of an award is anticipated to be announced in late July to early August, 2000. Final awards are anticipated to be made by the end of September, 2000.
3. Question: Given the short time frame to have a submittal ready for the solicitation (deadline is April 27, 2000), is it acceptable to put in a proposal for a project and if awarded, consider a competitive bid to select a contractor for project within the constraints of budget and content of project as provided in the proposal?

Answer: If final budget amounts are not available at time of application, a reasonable estimate by budget category (Federal Assistance Budget Information, DOE Form 4600.4), a Budget explanation Page for DOE Form 4600.4 and a Budget Summary by Task would still be required for evaluation of the application.

4. Question: Is there a maximum page requirement for the solicitation?
- Answer: The application's Technical Information section may not exceed 20 pages, including all supplemental information, with the exception of resumes (limited to a maximum of 10 pages for all resumes), Field Work Proposal and Authorization from the DOE Contracting Officer if M&O work is proposed.
5. Question: The solicitation states that DOE will enter into cooperative agreements with a number of entities, all of which have 'state energy' designations. As an institute of higher education conducting research in various energy fields, do we qualify as a state energy research entity? Or must the proposal originate with an official state energy research office?
- Answer: The definition of eligible applicants would include State funded institutions of higher education conducting research in various energy fields and the proposal would not need to originate with an official State energy research office.
6. Question: Is there a specific format for the technical portion (Section I) of the proposal?
- Answer: As stated on page 10, **C. Section I - Technical Information**, "Section I must include the following items in order given below" The paragraph and following pages provide the format, length(included in this amendment) and order of the technical section of the proposal.
7. Question: Does a submission of the full proposal without the preapplication impact the chances of securing funding adversely?
- Answer: No. Any application received in response to the solicitation (regardless of a pre-application submission or non-submission) will be reviewed in accordance with the evaluation procedures set forth in the solicitation.
8. Question: Is the total project request (for DOE funds) limited to \$600K to \$1,000K for the three year period or per year? For example, if one were to propose a three year project (assuming at least 20% cost share per year by the proposer), could the total request to DOE be for \$600K to \$1,000K PER year?

Answer: An applicant may propose a total project cost of \$300,000 to \$1 Million per year for a total project cost of \$900,000 to \$3 Million. However, funding for a period beyond the first or second year may be awarded based on the success of the project during the first or second year, and the availability of funds. As stated in the solicitation, "If the project is proposed for longer than one year, it is anticipated that pre-determined go/no-go decision points will be negotiated as part of the award process." This program is a high priority for DOE and DOE will be working with the relevant Congressional Committees to continue this program in FY 2001 and FY 2002.

9. Question: Will the closing date of the solicitation be extended past April 27, 2000?

Answer: It is anticipated that the closing date will remain the same and not be extended past the April 27, 2000 deadline. In order to have all selected applications awarded by the end of fiscal Year 2000 (September 30, 2000), the schedule must be maintained.

10. Question: Though DOE national labs are not eligible applicants, is there a conflict of interest if we were to include a researcher from one of the DOE national labs as an unpaid consultant to our project?

Answer: Any use of DOE national laboratory personnel in an application as non-paid consultants, should include the same approvals (excluding the Field Work Proposal) as required for paid laboratory personnel. See the Application Preparation Instructions in the solicitation. In addition, as the National Energy Technology Laboratory (NETL) is not eligible as an applicant or participant under this solicitation, researchers from NETL are not eligible to be consultants, paid or unpaid, to projects.

11. Question: We note from the solicitation that state energy offices are eligible applicants. It is not too clear if they have to be the main contractors to the project proposal, or whether they can team up with private contractors and non-profit universities, i.e., whether the state energy office can be a sub-contractor to this project.

Answer: Only eligible applicants will be the DOE Cooperative Agreement recipients. The recipients are encouraged to enter into teaming arrangements which may include other eligible applicants.

12. Question: Can a project be submitted in which a portion takes place in both the U.S. and in another country?

Answer: All applicants and participants must complete the GO-PF21, EPACT certification unless the applicant or participant is any entity other than an educational, charitable or state government organization as defined in Section 501(C)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(C)(3)). The answers provided will determine the eligibility of the non-U.S. participant.